Interpretive Research

Projects

OMB No. 3136-0120
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INTRODUCTION

Because these instructions supplement the general guidelines of the Division of Research Programs, all applicants should read the guidelines brochure carefully before beginning the preparation of an application. The guidelines brochure describes the division's review process and the various categories of support and lists the questions reviewers normally ask of proposals submitted in each of the categories. The issues raised by these questions should be addressed in the appropriate sections of the proposal.

The mission of the National Endowment for the Humanities is to support work that will promote or encourage, in the words of the enabling legislation, "progress and scholarship in the humanities." Because citizens' tax funds are the source of support for all awards the Endowment makes, the Endowment strives to support only projects of compelling importance and quality. It is especially important for applicants to demonstrate that a project will make a significant contribution to scholarship in the humanities.

I. TYPES OF PROJECTS

Grants in the Projects category support coordinated or collaborative research that will be important for humanities scholarship. Projects supported in this category include biographies; historical and analytical studies in literature and the arts; research in history, philosophy, and other humanities disciplines; focused interdisciplinary studies; humanities research in political science, sociology, and cultural anthropology; and other major collaborative or cooperative undertakings in the humanities. Projects, both interdisciplinary and within single disciplines, that aim for more integrated approaches to understanding the humanities are particularly encouraged. All projects are expected to lead to major publications.

In this category, the Endowment also supports archaeological projects that promise to strengthen scholarly knowledge and understanding of history and culture. Support is available for work at both foreign and American sites, including survey excavation, materials analysis, laboratory research, artifact preservation, and preparation of archaeological monographs. More detailed information for applicants interested in support for archaeology projects can be found in Section VI of these application instructions.

Support is also available for institutions that want to establish a research center or a similarly structured program for research on a single topic or a series of related topics in the humanities. Projects undertaken by such a center or program should lead to specific products, such as a series of essays or a series of monographs that would represent an important advance in the humanities discipline or disciplines involved.

II. ELIGIBLE APPLICANTS

Research projects that require coordinated or collaborative efforts involving various combinations of researchers and consultants, research assistants, and clerical or technical support personnel are eligible for support in the Projects category. With the exception of archaeology projects, all applications for support of <u>individual</u> study and research for periods of a year or less normally should be submitted to the Endowment's Division of Fellowships and Seminars. Archaeology projects, including art history and ethnohistory projects that rely primarily on the analysis of excavated materials, are eligible for support in the Division of Research Programs. All archaeology applications are reviewed in the Projects category. An applicant who is uncertain about which division of the Endowment is the most appropriate for a

particular project should confer with staff in either the Division of Research Programs or the Division of Fellowships and Seminars.

III. COMPLEMENTARY PROGRAMS

Applicants should be aware that certain research projects are eligible for Excess Currency (P.L. 480) funds. The American Institute of Indian Studies, 1130 East 59th Street, Chicago, Illinois 60637, considers applications for research in India. This is an annual competition with a deadline of July 1; requests for application forms must be made in writing. The Special Foreign Currency Program of the Smithsonian Institution, 1100 Jefferson Drive, S.W., Washington, D.C. 20560, considers applications for research in India, Burma, and Poland.

IV. PRELIMINARY PROPOSAL

Applicants are strongly urged to discuss the proposed project with Endowment staff or to submit a draft of the narrative and budget sections of the proposal at least six to eight weeks before the application deadline. An Endowment staff member will offer advice regarding the proposed project's eligibility, completeness, and competitiveness. Such preliminary counsel affords an applicant the opportunity to receive advice about the substance and format of the application. Staff responses to preliminary proposals are not a part of the formal review process.

V. THE APPLICATION

The application should include eight parts: a cover sheet, a statement of significance and impact, a table of contents, a narrative description of the project, a budget, appendices (including résumés, which may be provided in any format but should include pertinent information concerning an individual's education, experience, and other qualifications), a statement of the history of any grants received for the project, and a list of qualified reviewers. Forms for the cover sheet, statement of significance and impact, budget, list of reviewers, and history of grants are enclosed. Proposal narratives should be limited to twenty-five or fewer double-spaced pages.

A. Cover Sheet

The NEH Application Cover Sheet and instructions for completing it are enclosed.

B. Statement of Significance and Impact of Project

Applicants should provide this information on the enclosed sheet with this heading. This section should contain a carefully prepared summary of the project's purpose and expected results and should present a well-considered statement of the project's significance. Consideration of significance includes the intellectual justification of the project, its importance to scholarship in the humanities, the breadth of its conceptualization, the diversity and size of the intended audience, and the relationship of the research questions to larger issues or themes in the humanities.

C. Table of Contents

The table of contents should list the parts of the application, and the subdivisions within them, with page numbers.

D. Narrative Description

Applicants should prepare a detailed project description that includes the following sections:

1. Nature and Significance of the Project

This section should provide a concise explanation of the distinguishing characteristics of the research project. Applicants should describe the scope of the research, the source materials, and the relationship of the research to other published and unpublished work in the field. Applicants are particularly urged to describe what audiences will benefit from the research and to identify the project's broader significance and the relevance of the research to the general public.

For archaeology applications for prepublication analysis and write-up, a case should be made for the importance of the publications for a larger readership as well as for specialists. Applicants for archaeology excavation support should mention, if appropriate, the urgency of the proposed excavation for reasons of imminent destruction or site deterioration.

2. History and Duration of the Project

Applicants should explain the preliminary research or planning that has been conducted for the project, the kinds of financial support the project has already received, and the resources or research facilities available to the project. If work on the project will continue after the proposed period of the grant, the applicant should provide details about the work that will remain to be accomplished and the probable sources of support for that work.

3. Project Staff

Applicants should identify the project staff, describe their duties, and state their qualifications for undertaking the specific responsibilities assigned to them. Brief résumés for all major participants should be included in an appendix. These résumés should be specially designed to show, in a condensed form, the participants' qualifications to carry out the particular project or projects proposed in the application.

The period and amount of time that key project staff members have agreed to devote to the project must be clearly indicated and justified. Project directors must be in charge of their projects and must devote a significant portion of their time to them. All persons directly involved in the conduct of the grant--whether or not their salaries are paid from grant funds--must be named in the budget, and their anticipated commitments of time must be indicated.

If the application is for the establishment of a research center, the proposal should describe the criteria and procedures that will be used to select any visiting scholars. The names and institutional affiliations of all advisory board and selection committee members should be specified. The proposal should also discuss the duties of these groups.

4. Project Methodology

This section should explain and justify the project's methodology. The applicant should state the central research questions clearly and should discuss any major difficulties likely to be encountered. The nature and location of the necessary source materials should also be described in detail, and the applicant's prospects of access to the pertinent collections should be indicated. A bibliography of relevant sources should be provided.

5. Work Plan

Applicants should provide a detailed description of the proposed organization and implementation of the project. Applicants must also provide a plan of work by six-month periods that details the stages and timetable by which the project will be carried out and that provides a description of what will be accomplished during each stage. The plan should also indicate which project staff members will be involved in the project's various stages.

6. Final Product and Dissemination

All books or articles that will result from the project should be described, preferably in outline form. Any applicant who proposes to undertake a large project should consult with a publisher at an early stage of planning so that the application

will reflect the most efficient and economical method of preparing and presenting the research for dissemination. In the proposal, applicants must indicate if an agreement to publish has been reached. Any pertinent correspondence with a publisher, such as a letter of interest, should be included in an appendix.

7. Computer Use

An applicant whose project includes a computer component should request a copy of the Endowment's "Instructions for Applicants with Projects Requiring the Use of Automation Technology" and must provide in a separate section information on all relevant points outlined in the instructions. Applicants should consult these instructions whether computer expenses are charged to the Endowment or are borne by the applicant. If computer use is expected to be minimal, applicants should discuss the applicability of these instructions with a division staff member.

E. Project Budget

The budget form and instructions for completing it are enclosed.

1. Types of Grant Support

The Endowment provides three types of funding: federal matching funds, outright funds, and a combination of the two.

Matching Funds

The Endowment is authorized to match gifts made to NEH or gifts that are given directly to an applicant and that will be used to support budgeted project activities during the grant period. Applicants are encouraged to identify potential sources of gift funds at the time they make an application to the Endowment.

Endowment matching funds are awarded on an up to one-for-one basis. The purpose of matching funds is to stimulate private support for projects in the humanities by offering potential donors the incentive of doubling the impact of their gifts. Because matching funds enable NEH to provide support to a wider range of significant but often costly projects, institutional applicants are encouraged to consider requesting complete or partial funding in the form of a matching grant. Applicants who apply for matching funds support should refer to the attachment at the end of this booklet, "Eligible Gifts and Donors."

Outright Funds

An outright grant is one in which the award of Endowment funds is not contingent on the applicant's raising gifts for the project.

Combined Funds

Applicants also may request a combination of outright and matching funds from the Endowment. For example, if a project will cost $85,000 and $20,000 in gifts will be raised from eligible third parties, the applicant should request $20,000 in matching funds from the Endowment. Support for the balance of project expenditures ($45,000) may be requested in outright funds.

It should be noted that, under certain circumstances, the Endowment may offer total or partial matching support to an applicant requesting only outright support.

2. Cost Sharing

Cost sharing consists of the cash contributions made to the project by the applicant and third parties as well as third-party in-kind contributions, such as donated services and goods. Cost sharing includes gift money that will be raised to release federal matching funds. Normally, Endowment support will not exceed 80 percent of the project's total costs; the balance of the project costs are to be shared by nonfederal sources. Cost sharing in all renewal applications should be at least ten percentage points higher than in the original proposal. Individual applicants need not show cost sharing in their applications unless they are requesting federal matching funds, in which case the gifts are normally shown as cost sharing. Individual applicants who receive grants only in outright funds are not expected to provide cost sharing.

The Endowment will support survey and excavation projects with outright funds of up to $10,000 per year; additional support is available only through federal matching funds. In no case will NEH support for archaeological excavation or survey projects exceed 50 percent of total project costs. For example, if the cost of a one-year excavation project will be $50,000, the applicant may not request more than $25,000 in total support from the Endowment ($10,000 maximum in outright funds and the remainder in federal matching funds).

3. Grant Period

The grant period encompasses the entire period for which Endowment support is requested in the current application. All project activities and the expenditure of project funds, that is, grant funds and cost-sharing contributions, must occur during the grant period. Projects can include full- or part-time activities for periods of up to three years.

F. Appendices

The appendices should be limited to supplementary but essential materials. These materials should include selective résumés from project participants and letters of commitment from outside participants and cooperating institutions.

G. Statement of History of Grants

Please complete the enclosed form with this heading.

H. Reviewers

On the List of Suggested Reviewers form, applicants are asked to provide the names and addresses of eight disinterested persons who can provide impartial evaluations of the proposal's merits. They should be either experts in the particular area of the application or on the proposed methodology, or they can be scholars whose reputation and broad knowledge lend weight to their judgments. Applicants should not discuss their proposals with any of the individuals listed as potential reviewers.

Endowment staff will consult this list, along with other sources, in choosing reviewers for the proposal. Applicants are advised, however, that some potential reviewers are excluded from consideration because of federal rules governing conflict of interest. These exclusions apply to immediate relatives of project staff members, all employees of the applicant institution, and all others who can be deemed to benefit financially from the project if it is funded. The program staff also will avoid soliciting reviews from individuals who are associated with other proposals that are pending in the Interpretive Research category.

VI. ARCHAEOLOGY PROJECTS

The following additional instructions are intended for applicants proposing archaeology projects of any kind.

A. Excavation Projects

1. Surveys

An applicant who proposes to initiate a major expedition should have completed preliminary survey work. If such a phase has been completed, the application should include, in an appendix, the survey report, plans, maps, and photographs. If a survey has not been made, applicants are advised to request an initial grant to fund a survey season. Regional surveys are considered to be useful and sometimes indispensable complements to site surveys.

2. Foreign Excavation Projects

Because foreign archaeology projects must obtain permits from the host country, contact with the appropriate authority must be established prior to an award. Sufficient evidence that the permits will be forthcoming should be included in an appendix to the application. Should a work permit be denied during the application process, the applicant must withdraw from the competition. If the permit is denied or revoked during the grant period, the grant will be suspended automatically. An applicant must inform the Endowment of any change regarding the issuance or denial of a permit.

3. Excavation Projects in the United States

Applicants interested in undertaking American archaeology projects should call or write the appropriate state historic preservation officer before consulting the Endowment in order to determine how the proposed research is related to other current state projects. The state historic preservation officer will explain the procedure for nominating a site to the National Register of Historic Places and will discuss the availability of funds from other federal programs.

4. Reports

The communication of field reports from funded projects must keep pace with excavation work and related research. Full progress reports, including maps, stratigraphic plans, and photographs must be submitted at the end of a season. Ideally, multiyear projects will alternate periods of excavation with periods of analysis and publication. Preliminary reports should be disseminated to the field as widely as possible, particularly when delays are anticipated in the definitive publication of an excavation.

5. Conservation

Archaeologists have been increasingly concerned that adequate curatorial attention be given to artifacts recovered on excavations. Preservation of such material guarantees the possibility of future reexamination of established research conclusions. Curatorial costs to preserve essential evidence and site stabilization costs may be listed as budget items.

6. Use of Students

The Endowment does not support projects designed primarily for the training of students. Therefore, travel and per diem costs for either graduate or undergraduate students may be included in the project budget only when their contribution to the project's research goals is fully justified in the project description and

when course credit will not be given for participation in the project.

7. Additional Cost Sharing for Excavations and Surveys

Please consult the cost-sharing requirements for archaeological excavation and survey projects on page 7 of this booklet.

B. Prepublication Research

The Endowment is particularly interested in encouraging the preparation of archaeological monographs. Proposals for prepublication research may include some of the costs of preparing camera-ready copy and illustrations for offset printing when such a means of dissemination is appropriate. The Endowment will normally support up to 80 percent of the costs of preparing archaeological research for publication.

C. Materials Analysis

The Endowment also encourages projects that make use of recently developed techniques for materials analysis if such analysis is an integral part of a discrete project that focuses on problems of research and interpretation in the humanities. The Endowment does not provide support for the establishment, research and development, or operating costs of technical programs (archaeometry, radiocarbon, paleobotany, or paleozoology). Proposals that focus exclusively on materials analysis should be submitted to the National Science Foundation.

D. Historic Preservation

The Advisory Council on Historic Preservation and the Archaeological Assistance Division, National Park Service, can both provide additional information about federal archaeological programs. Archaeological research, surveys, excavations, and the preservation of areas, sites, or buildings listed in the National Register are eligible for support on a matching basis under the National Historic Preservation Act of 1966. Funds for historic preservation, survey, acquisition, and rehabilitation may be available from the U.S. Department of Housing and Urban Development. For further information, applicants should call or write the Archaeological Assistance Division, National Park Service, Heritage Conservation and Recreation Service, U.S. Department of the Interior, Washington, D.C. 20240, or the Office of Community Planning and Development, U.S. Department of Housing and Urban Development, Washington, D.C. 20410. For assistance in matters involving the American Indian Religious Freedom Act, applicants should consult the Advisory Council on Historic Preservation's "Guidelines for Consideration of Traditional Cultural Values in Historic Preservation Review."

VII. FORMAL SUBMISSION

Each copy of the application should be stapled or bound securely and assembled in the following order:

1. Cover Sheet
2. Statement of Significance and Impact of Project
3. Table of Contents
4. Narrative Description
5. Project Budget
6. Appendices (including résumés)
7. Statement of History of Grants
8. List of Suggested Reviewers

Applicants should submit seventeen copies of the application, including one copy with the original, signed cover sheet, along with three extra copies of the cover sheet. The complete application package should be mailed to:

Interpretive Research/Projects
Division of Research Programs
National Endowment for the Humanities
Room 318
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

VIII. DEADLINE

The complete application package must be postmarked no later than October 15, 1989. Receipt of the application will be acknowledged by post card within four weeks after the application deadline. Applicants who do not receive such an acknowledgment should call or write the Endowment as soon as possible. The review of applications requires approximately nine months.

National Endowment for the Humanities

Washington, D.C.

The following pages include:

—Instructions for Completing the Application Cover Sheet
—The Application Cover Sheet
—Field of Project Categories and Codes

Please read the instructions before completing applicable questions. Please print or type.

Purpose: The National Endowment for the Humanities uses a single cover sheet for all of its programs. This cover sheet gathers information that is necessary in one of two ways:

(1) The information is necessary for efficient consideration of the application during the review process and in the administration of the grant if an award is made.

(2) The information is *required of the Endowment* in various reports to Congress, other federal agencies, and the public. The Endowment must provide reports that involve statistical information or descriptions that can be obtained quickly from the cover sheet. Information is recorded in a computer, which stores the data for subsequent compilation and reporting.

Please read the instructions for each question carefully. Answer each question by typing or printing your reply. Please verify your answers to be certain that they are correct and complete.

You will find it helpful to complete the cover sheet last, after all other parts of the application have been prepared.

Privacy Act: The following notice is furnished in compliance with the Privacy Act of 1974:

The information is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956. This information is needed to process the grant application and for statistical research and analysis of trends. The routine uses which may be made of this information are: general administration of the grant review process; statistical summaries; congressional oversight, and analysis of trends. Failure to provide any of the requested information will result in the delay or rejection of the application.

INSTRUCTIONS FOR COMPLETING THE APPLICATION COVER SHEET

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates the average time to complete this application is 52 hours per response. This estimate includes the time for reviewing instructions; researching, gathering, and maintaining the information needed; and completing and reviewing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the time to complete, to the Assistant Chairman for Administration, National Endowment for the Humanities, Washington, D.C. 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0120), Washington, D.C. 20503.

Block 1--Individual Applicant or Project Director

Item a. If the application is submitted through an institution or organization, enter the name and mailing address of the person who will carry out the project or be chiefly responsible for directing it. (Information about an institution is also requested in Blocks 2 and 11.) When an application is submitted by an individual, enter the name and address of the individual.

Item b. In the space provided, enter the number corresponding to the applicant's or project director's preferred form of address:

1--Mr.	3--Miss	5--Professor
2--Mrs.	4--Ms.	6--Dr.

Item c. Enter the social security number and date of birth of the applicant.

Item d. Enter the applicant's or project director's full telephone number with area code and extension. Whenever possible, one of the telephone numbers listed should be a number at which a message can be left.

Item e. If possible, indicate the code for the appropriate major field from the list of Field of Project Categories and Codes on the reverse side of the Application Cover Sheet.

Block 2--Type of Applicant

Check either (a) or (b).

Only an applicant applying as an unaffiliated individual should check the "individual" box. A project director affiliated with an institution must apply through that institution if the project will make use of the institution's resources, for example, the library, computer center, office space, clerical assistance, etc. If the project does not use such resources, the project director may apply as an individual; but in such cases the Endowment must receive a statement from the institution indicating awareness of the project director's submission of an application.

For those who checked (a) ONLY: Please indicate an institutional affiliation, if applicable, in Block 11a.

For those who checked (b) ONLY: Identify Type such as: business, religious, museum, historical society, government (state, local, etc.), public media (TV, radio, newspaper, etc.), educational (elementary/secondary, school district, 2-year college, 4-year college, etc.), library (public, research, etc.), center (advanced study, research, etc.). Identify Status as either Private Nonprofit or Unit of State or Local Government. Example: Type: Historical Society. Status: Private Nonprofit.

Block 3--Type of Application

Check appropriate type:

Item a. New--application for this project submitted to NEH for the first time.

Item b. Revision and Resubmission--a version of the application for this project was submitted to NEH previously but not funded.

Item c. Renewal--application for funding a new grant period for a project previously funded by NEH.

Item d. Supplement--application for additional funding to a current NEH grant.

Block 4--Program to which Application Is Being Made

This information is preprinted on your form. Preprinted forms ensure that the applicant has the correct instructions for the specific program.

If application is being made under one of the Endowment's initiatives described in the guidelines of the Division of Research Programs, please indicate the number corresponding to the initiative in the space provided after Endowment Initiatives:

03C--The Foundations of American Society
03M--Columbian Quincentenary

Block 5--Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. Project activities need not begin on the first day, but all project activities must take place within the requested grant period.

Block 6--Project Funding

Enter here the appropriate figures from the Project Budget that is part of your application.

Block 7--Field of Project

Indicate the category and code from the listing on the reverse side of the cover sheet to indicate the specific humanities field that best describes the content of the project.

Block 8--Descriptive Title of Project

Enter a brief title that clearly identifies the project and its humanities content. This title should be informative to a nonspecialist. NEH is obliged to be as clear as possible to the public about awards that it makes. The descriptive title will be used for this purpose whenever possible, but the Endowment staff may assign a different working title.

Block 9--Description of Project

Provide a brief description of the proposed project. Do not exceed the space provided.

Block 10--Will This Proposal Be Submitted to Another Government Agency or Private Entity for Funding?

This information is sought without prejudice to the application. NEH frequently cosponsors projects with other funding sources. If not applicable, indicate "N/A."

Block 11--Institutional Data

Item a. Indicate the name of the institution and the city and state of its official mailing address.

Item b. Enter the institution's employer identification number.

Item c. Indicate the name and title of the person who is authorized to submit the application on behalf of the institution or organization and to provide the certifications required in Block 12.

Item d. Indicate the name, mailing address, form of address (see instructions for Block 1b), and the telephone number of the person who will be responsible for the financial administration of the grant if the award is made. For example, at many universities the provost, vice president, president, or chancellor is the person "authorized" to submit an application (see item c), but the actual administration of the project--such as, negotiating the project budget, ensuring compliance with the terms and conditions of the award--is the responsibility of a grants or research officer. It is the latter person who should be listed here.

Block 12--Certification

The Endowment is required to seek from institutional applicants a certification regarding the nondiscrimination statutes and from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. By signing and submitting this application, the individual applicant or the authorizing official of the applicant institution is providing the applicable certifications. Please refer to the "Certifications" and the accompanying instructions in the appendix to these application instructions.

NEH APPLICATION COVER SHEET

OMB No. 3136-0120
Expires 7/31/91

1. Individual applicant or project director

a. Name and mailing address

Name _____
(last) (first) (initial)

Address _____

_____

_____
(city) (state) (zip code)

b. Form of address: ☐

c. Social Security # _____ Date of birth _____ (mo./day/yr.)

d. Telephone number
Office: ___/_____ (area code) Home: ___/_____ (area code)

e. Major field of applicant or project director _____ ☐ (code)

f. Citizenship ☐ U.S.
☐ Other _____ (specify)

2. Type of applicant

a. ☐ by an individual b. ☐ through an org./institute
If a, indicate an institutional affiliation, if applicable, on line 11a.
If b, complete block 11 below and indicate here:
c. Type
d. Status

3. Type of application

a. ☐ new c. ☐ renewal
b. ☐ revision and resubmission d. ☐ supplement
If either c or d, indicate previous grant number:

_____

4. Program to which application is being made

Interpretive Research/Projects ☐

Endowment Initiatives: _____ (code)

5. Requested grant period

From: _____ (month/year) To: _____ (month/year)

6. Project funding

a. Outright funds	$
b. Federal match	$
c. Total from NEH	$
d. Cost sharing	$
e. Total project costs	$

7. Field of project ☐

8. Descriptive title of project

9. Description of project (do not exceed space provided)

10. Will this proposal be submitted to another government agency or private entity for funding?
(If yes, indicate where and when):

11. Institutional data

a. Institution or organization:

_____
(name)

_____
(city) (state)

b. Employer identification number _____

c. Name of authorizing official:

_____
(last) (first) (initial)

_____
(title)

d. Name and mailing address of institutional grant administrator:

_____
(last) (first) (initial)

_____

_____

_____
(city) (state) (zip code)

Telephone: ___/_____ (area code) Form of address ☐

12. Certification

By signing and submitting this application, the individual applicant or the authorizing official of the applicant institution (Block 11c) is providing the applicable certifications regarding the nondiscrimination statutes, federal debt status, debarment and suspension, and a drug-free workplace, as set forth in the appendix to these application instructions.

_____ _____
(signature) (date)

Note: Federal law provides criminal penalties of up to $10,000 or imprisonment of up to five years, or both, for knowingly providing false information to an agency of the U.S. government. 18 U.S.C. Section 1001.

For NEH use only
Date received
Application #
Initials

Field of Project Categories and Codes

The following categories and codes should be used to complete blocks 6d and 7 of the NEH Application Cover Sheet. If no exactly appropriate category is provided, please select the larger category that would include the more precise one. (This listing is strictly for use by the NEH staff to help retrieve information about applications and grants by subject matter field. The listing is not comprehensive and *is not meant to define the disciplines of the humanities.* For that definition and advice about eligibility for Endowment awards, please consult elsewhere in these application materials. The hierarchical arrangement is for convenience.

Anthropology L1

Archaeology U6

Archival Management/Conservation I1

Arts, History and Criticism MA

Architecture: History & Criticism U3
Art: History and Criticism M1
Dance: History & Criticism M3
Film: History & Criticism M4
Music: History & Criticism M5
Theater: History & Criticism M2

Communications P2

Composition & Rhetoric P1
Journalism P4
Media P3

Education H1

Ethnic Studies K1

Asian American K5
Black/Afro-American K4
Hispanic American K3
Jewish K6
Native American K2

History A1

African A2
American A3
Ancient AC
British A4
Classical A5
European A6
Far Eastern A7
Latin American A8
Near Eastern A9
Russian AA
South Asian AB

Humanities U8

Interdisciplinary U1

African Studies G1
American Studies G3
Area Studies GH
Asian Studies G5
Classics G7
Folklore/Folklife R1
History/Philosophy of Science, Technology or Medicine GA
International Studies GG
Labor Studies G4
Latin American Studies GJ
Medieval Studies G8
Regional Studies GF
Renaissance Studies G9
Rural Studies GC
Urban Studies G2
Western Civilization GB
Women's Studies G1

Language C1

Ancient CC
Asian CA
Classical C2
Comparative C9
English CE
French C3
German C4
Italian C5
Latin American C6
Near Eastern CB
Slavic C7
Spanish C8

Law/Jurisprudence Q1

Library Science H3

Linguistics J1

Literature D1

African DK
American DE
Ancient DC
Asian DA
British DD
Classical D2
Comparative D9
French D3
German D4
Latin American D6
Literary Criticism DI
Near Eastern DB
Slavic D7
Spanish D8

Museum Studies/Historic Preservation I2

Philosophy B1

Aesthetics B2
Epistemology B3
Ethics B4
History of Philosophy B5
Logic B6
Metaphysics B7
Non-Western Philosophy B8

Religion E1

Comparative Religion E5
History of Religion E2
Non-Western Religion E4
Philosophy of Religion E3

Social Science U2

American Government F2
Economics N1
Geography U7
International Relations F3
Political Science F1
Psychology U5
Public Administration F4
Sociology S1

Projects Category

Statement of Significance and Impact of Project

BUDGET INSTRUCTIONS

Before developing a project budget, applicants should review those sections of the program guidelines and application instructions that discuss cost-sharing requirements, the different kinds of Endowment funding, limitations on the length of the grant period, and any restrictions on the types of costs that may appear in the project budget.

Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. All project activities must take place during the requested grant period.

Project Costs

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or third-party cash and in-kind contributions.

All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization.

When indirect costs are charged to the project, care should be taken that expenses that are included in the organization's indirect cost pool (see Indirect Costs) are not charged to the project as direct costs.

Fringe Benefits

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits that are not included in an organization's indirect cost pool may be shown as direct costs.

Travel Costs

Less-than-first-class accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

Equipment

Only when an applicant can demonstrate that the purchase of permanent equipment will be less expensive than rental may charges be made to the project for such purchases. Permanent equipment is defined as an item costing more than $500 with an estimated useful life of more than two years.

Indirect Costs (Overhead)

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost type items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (usually the direct costs of the project). Organizations that wish to include overhead charges in the budget but do not have a current federally negotiated indirect cost rate or have not submitted a pending indirect cost proposal to a federal agency may choose one of the following options:

1. The Endowment will not require the formal negotiation of an indirect cost rate, provided the charge for indirect costs does not exceed 10 percent of direct costs, less distorting items (e.g., capital expenditures, major subcontracts), up to a maximum charge of $5,000. (Applicants who choose this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs.)

2. If your organization wishes to use a rate higher than 10 percent or claim more than $5,000 in indirect costs, an estimate of the indirect cost rate and the charges should be provided on the budget form. If the application is approved for funding, you will be instructed to contact the NEH Audit Office to develop an indirect cost proposal.

SAMPLE BUDGET COMPUTATIONS

			NEH Funds (a)	Cost Sharing (b)	Total (c)
Salaries and Wages					
Jane Doe/Project Director	[ ]	9 months x 100% @ $27,000/academic yr.	$13,500	$13,500	$27,000
Jane Doe	[ ]	1 summer month x 100% @ $3,000	3,000		3,000
John Smith/Research Assistant	[ ]	6 months x 50% @ $25,000/yr.	6,250		6,250
Secretarial Support	[1]	3 months x 100% @ $14,000/yr.	3,500		3,500
Fringe Benefits					
11 % of $36,250			2,503	1,485	3,988
8 % of $ 3,500			280		280

Travel	no. of persons	total travel days	subsistence costs	+ transport. costs =			
New York City/Chicago	[2]	[4]	$500	$450	750		750
Various/Washington D.C. conf.	[5]	[10]	$750	500	1,250		1,250
Consultant Fees							
Serbo-Croatian Specialist		5	$100		500		500
Services							
Long Distance Telephone		est. 40 toll calls @ $3.00			120		120
Conference Brochure		50 copies @ $3.50/copy			175		175
TOTAL DIRECT COSTS					$31,808	$14,985	$46,793
Indirect Costs							
20% of $46,793					$ 6,362	$ 2,997	$ 9,359
TOTAL PROJECT COSTS (Direct and Indirect)					$38,170	$17,982	$56,152

National Endowment for the Humanities

BUDGET FORM

OMB No. 3136-0120
Expires 7/31/91

Project Director	If this is a revised budget, indicate the NEH application/grant number:
Applicant Organization	Requested Grant Period From _____ (mo/yr) to _____ (mo/yr)

The three-column budget has been developed for the convenience of those applicants who wish to identify the project costs that will be charged to NEH funds and those that will be cost shared. FOR NEH PURPOSES, THE ONLY COLUMN THAT NEEDS TO BE COMPLETED IS COLUMN C. The method of cost computation should clearly indicate how the total charge for each budget item was determined. If more space is needed for any budget category, please follow the budget format on a separate sheet of paper.

When the requested grant period is eighteen months or longer, separate budgets for each twelve-month period of the project must be developed on duplicated copies of the budget form.

SECTION A — budget detail for the period from _____ (mo/yr) to _____ (mo/yr)

1. Salaries and Wages

Provide the names and titles of principal project personnel. For support staff, include the title of each position and indicate in brackets the number of persons who will be employed in that capacity. For persons employed on an academic year basis, list separately any salary charge for work done outside the academic year.

name/title of position	no.	method of cost computation (see sample)	NEH Funds (a)	Cost Sharing (b)	Total (c)
_____	[ ]	_____	$_____	$_____	$_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
		SUBTOTAL	$_____	$_____	$_____

2. Fringe Benefits

If more than one rate is used, list each rate and salary base.

rate		salary base	(a)	(b)	(c)
_____ %	of	$_____	$_____	$_____	$_____
_____ %	of	$_____	_____	_____	_____
		SUBTOTAL	$_____	$_____	$_____

3. Consultant Fees

Include payments for professional and technical consultants and honoraria.

name or type of consultant	no. of days on project	daily rate of compensation	(a)	(b)	(c)
_____	_____	$_____	$_____	$_____	$_____
_____	_____	$_____	_____	_____	_____
_____	_____	$_____	_____	_____	_____
_____	_____	$_____	_____	_____	_____
_____	_____	$_____	_____	_____	_____
		SUBTOTAL	$_____	$_____	$_____

4. Travel

For each trip, indicate the number of persons traveling, the total days they will be in travel status, and the total subsistence and transportation costs for that trip. When a project will involve the travel of a number of people to a conference, institute, etc., these costs may be summarized on one line by indicating the point of origin as "various." All foreign travel must be listed separately.

from/to	no. of persons	total travel days	subsistence costs +	transportation costs =	NEH Funds (a)	Cost Sharing (b)	Total (c)
_____ _____	[ ]	[ ]	$_____	$_____	$_____	$_____	$_____
_____	[ ]	[ ]	_____	_____	_____	_____	_____
_____	[ ]	[ ]	_____	_____	_____	_____	_____
_____	[ ]	[ ]	_____	_____	_____	_____	_____
_____	[ ]	[ ]	_____	_____	_____	_____	_____
_____	[ ]	[ ]	_____	_____	_____	_____	_____
_____	[ ]	[ ]	_____	_____	_____	_____	_____
				SUBTOTAL	$_____	$_____	$_____

5. Supplies and Materials

Include consumable supplies, materials to be used in the project, and items of expendable equipment; i.e., equipment items costing less than $500 or with an estimated useful life of less than two years.

item	basis/method of cost computation	(a)	(b)	(c)
_____	_____	$_____	$_____	$_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
	SUBTOTAL	$_____	$_____	$_____

6. Services

Include the cost of duplication and printing, long distance telephone, equipment rental, postage, and other services related to project objectives that are not included under other budget categories or in the indirect cost pool. For subcontracts over $10,000, provide an itemization of subcontract costs on this form or on an attachment.

item	basis/method of cost computation	(a)	(b)	(c)
_____ _____	_____	$_____	$_____	$_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
	SUBTOTAL	$_____	$_____	$_____

7. Other Costs

Include participant stipends and room and board, equipment purchases, and other items not previously listed. Please note that "miscellaneous" and "contingency" are not acceptable budget categories. Refer to the budget instructions for the restriction on the purchase of permanent equipment.

item	basis/method of cost computation	NEH Funds (a)	Cost Sharing (b)	Total (c)
_____	_____	$_____	$_____	$_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
	SUBTOTAL	$_____	$_____	$_____

8. Total Direct Costs (add subtotals of items 1 through 7) $_____ $_____ $_____

9. Indirect Costs [This budget item applies only to institutional applicants.]

If indirect costs are to be charged to this project, check the appropriate box below and provide the information requested. Refer to the budget instructions for explanations of these options.

- ☐ Current indirect cost rate(s) has/have been negotiated with a federal agency. (Complete items A and B.)
- ☐ Indirect cost proposal has been submitted to a federal agency but not yet negotiated. (Indicate the name of the agency in item A and show proposed rate(s) and base(s), and the amount(s) of indirect costs in item B.)
- ☐ Indirect cost proposal will be sent to NEH if application is funded. (Provide an estimate in item B of the rate that will be used and indicate the base against which it will be charged and the amount of indirect costs.)
- ☐ Applicant chooses to use a rate not to exceed 10% of direct costs, less distorting items, up to a maximum charge of $5,000. (Under item B, enter the proposed rate, the base against which the rate will be charged, and the computation of indirect costs or $5,000, whichever sum is less.)

A. _____ _____
name of federal agency — date of agreement

B.

rate(s)		base(s)	NEH Funds (a)	Cost Sharing (b)	Total (c)
_____ %	of	$_____	$_____	$_____	$_____
_____ %	of	$_____	_____	_____	_____
		TOTAL INDIRECT COSTS	$_____	$_____	$_____

10. Total Project Costs (direct and indirect) for Budget Period $_____ $_____ $_____

SECTION B — Summary Budget and Project Funding

SUMMARY BUDGET

Transfer from section A the total costs (column c) for each category of project expense. When the proposed grant period is eighteen months or longer, project expenses for each twelve-month period are to be listed separately and totaled in the last column of the summary budget. For projects that will run less than eighteen months, only the last column of the summary budget should be completed.

Budget Categories	First Year/ from: to:	Second Year/ from: to:	Third Year/ from: to:	TOTAL COSTS FOR ENTIRE GRANT PERIOD
1. Salaries and Wages	$_____	$_____	$_____ =	$_____
2. Fringe Benefits	_____	_____	_____ =	_____
3. Consultant Fees	_____	_____	_____ =	_____
4. Travel	_____	_____	_____ =	_____
5. Supplies and Materials	_____	_____	_____ =	_____
6. Services	_____	_____	_____ =	_____
7. Other Costs	_____	_____	_____ =	_____
8. **Total Direct Costs (items 1-7)**	$_____	$_____	$_____ =	$_____
9. Indirect Costs	$_____	$_____	$_____ =	$_____
10. **Total Project Costs (Direct & Indirect)**	$_____	$_____	$_____ =	$_____

PROJECT FUNDING FOR ENTIRE GRANT PERIOD

Requested from NEH:[1]		Cost Sharing:[2]	
Outright	$_____	Cash Contributions	$_____
Federal Matching	$_____	In-Kind Contributions	$_____
		Project Income	$_____
TOTAL NEH FUNDING	$_____	TOTAL COST SHARING	$_____

Total Project Funding (NEH Funds + Cost Sharing)[3] = $_____

[1]Indicate the amount of outright and/or federal matching funds that is requested from the Endowment.

[2]Indicate the amount of cash contributions that will be made by the applicant or third parties to support project expenses that appear in the budget. Include in this amount third-party cash gifts that will be raised to release federal matching funds. (Consult the program guidelines for information on cost-sharing requirements.)

Occasionally, in-kind (noncash) contributions from third parties are included in a project budget as cost sharing; e.g., the value of services or equipment that is donated to the project free of charge. If this is the case, the total value of in-kind contributions should be indicated.

When a project will generate income that will be used during the grant period to support expenses listed in the budget, indicate the amount of income that will be expended on budgeted project activities.

[3]Total Project Funding should equal Total Project Costs.

Institutional Grant Administrator

Complete the information requested below when a revised budget is submitted. Block 11 of the application cover sheet instructions contains a description of the functions of the institutional grant administrator. The signature of this person indicates approval of the budget submission and the agreement of the organization to cost share project expenses at the level indicated under "Project Funding."

_____ Telephone ( ) _____
Name and Title (please type or print) area code

_____ Date _____
Signature

NEH Application/Grant Number: _____

LIST OF SUGGESTED REVIEWERS

Please list the names and addresses of eight potential reviewers.

1) Name: _____
Institution: _____
Address: _____
_____
_____

2) Name: _____
Institution: _____
Address: _____
_____
_____

3) Name: _____
Institution: _____
Address: _____
_____
_____

4) Name: _____
Institution: _____
Address: _____
_____
_____

OVER/

5) Name: _____

Institution: _____

Address: _____

_____

_____

6) Name: _____

Institution: _____

Address: _____

_____

_____

7) Name: _____

Institution: _____

Address: _____

_____

_____

8) Name: _____

Institution: _____

Address: _____

_____

_____

Statement of History of Grants

If the project has received previous support from any federal or nonfederal sources, including the Endowment, please list below the individual sources of these funds as well as the date and total dollar amount of each contribution to the project. If the project has had a long history of support, the sources and contributions may be grouped and summarized so that the list will not exceed one page.

Grantee Responsibilities

If funding is approved by the Endowment, the applicant organization will be responsible for insuring that the grant is administered in accord with the following provisions:

-- The grantee must have a financial management system that records separately within its general accounting system the receipt and disbursement of grant funds and cost-sharing contributions and that monitors the expenditure of these funds against the approved budget.

-- All commitments and obligations of grant funds and cost-sharing contributions are to occur during the grant period.

-- Project activities are to be carried out in accordance with the schedule provided in the approved application.

-- Changes in the scope and objectives of the project may not be made without prior Endowment approval.

-- The replacement of the project director, the codirector, or other professional staff members who are specifically named in the award notice requires prior Endowment approval.

-- Adequate documentation of the time spent by all project personnel on grant activities must be maintained by the grantee.

-- All procurement transactions are to be conducted in a manner that provides, to the maximum extent practical, open and free competition; for purchases in excess of $10,000, any use of sole-source contracts must be fully justified and documented.

-- Unless otherwise notified in writing, grantees must acknowledge Endowment support in all materials resulting from grant activities.

-- If a grantee earns income from grant activities or products that result from grant activities, the Endowment reserves the right to recover a portion of the program income.

Eligible Gifts and Donors

Only gifts of money, including the net proceeds from the sale of noncash gifts, that will be used to support budgeted project activities during the grant period are eligible to be matched with federal matching funds. The source, date of transfer, and amount of the gift or net proceeds from the sale of a noncash gift must be documented in the applicant's records.

Both restricted gifts (gifts that are given specifically in support of a project) and unrestricted gifts (gifts that may be used at the recipient's discretion) are eligible to be matched if they are donated directly to the applicant.

If a gift of money is given to an individual or organization associated with the project rather than directly to the applicant, that gift normally will not be deemed eligible to release federal matching funds. The only exception is if the donation is specifically in support of the project and control over the expenditure of these funds is transferred to the applicant.

Applicants should note that the following items are not eligible to be matched with federal funds: federally appropriated funds, deferred and noncash gifts, income earned from gifts after they are transferred to the applicant, and income received from any fees for participation in project activities.

Ineligible donors include the applicant who will carry out the project and any institution or individual who is involved in project activities and who will receive some sort of remuneration from project funds. To avoid any possibility of conflict of interest, a gift should not be used to release federal matching funds when there is the appearance that the donor might benefit in any way by giving a gift to a particular project.

Appendix

Instructions for Certification

1. The Endowment is required to seek from institutional applicants a certification regarding the nondiscrimination statutes and from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace.

2. By signing and submitting this proposal the individual applicant or the authorizing official of the applicant institution provides the applicable certifications. When a prospective applicant is unable to provide the Endowment with certification regarding the nondiscrimination statutes or a drug-free workplace, the prospective applicant is not eligible to apply for funding from the Endowment. When the applicant is unable to provide certification regarding federal debt status or debarment and suspension, the applicant shall attach an explanation to the proposal. The explanation of why the certification on federal debt status or debarment and suspension cannot be submitted will be considered in connection with the Endowment's funding determination. Failure to furnish a certification or an explanation shall disqualify such person from receiving an award from the Endowment.

3. The certification regarding the nondiscrimination statutes shall obligate the applicant for the period during which the federal financial assistance is extended. There are two exceptions. If any personal property is acquired with Endowment assistance, this certification shall obligate the applicant for the period during which it retains ownership or possession of that property. If any real property or structure is improved with Endowment support, this certification shall obligate the applicant or any transferee for as long as the property or structure is used for the grant or similar purposes. This certification is binding on the applicant, its successors, transferees, and assignees, and on the authorizing official whose signature appears on the application cover sheet for this proposal.

4. The certifications are material representations of fact on which reliance will be placed when the Endowment determines to fund the application. If it is later determined that the applicant knowingly provided an erroneous certification, in addition to other remedies available to the federal government, the Endowment may seek judicial enforcement of the certification, may terminate the award for cause or default, or, when applicable, may take action authorized under the Drug-Free Workplace Act.

5. The applicant shall provide immediate written notice to the Endowment if at any time the applicant learns that its certifications were erroneous when submitted or have become erroneous by reason of changed circumstances.

6. The applicant agrees by submitting this proposal that, should the proposal be funded by the Endowment, it shall not knowingly enter into any project related transactions (as defined under "lower tier covered transactions") with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the Endowment.

7. The applicant further agrees by submitting this proposal to include without modification the following clause in all lower tier covered transactions and in all solicitations for lower tier covered transactions: (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency. (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

8. A grantee may rely on the certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A grantee may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the list of "Parties Excluded from Nonprocurement Programs."

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except when specifically authorized by the Endowment, if a grantee knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to the remedies available to the federal government, the Endowment may terminate this transaction for cause or default.

11. The following definitions apply to the terms used in each of the certifications.

Definitions

Controlled Substance: A controlled substance in schedules I through V of Section 202 of the Controlled Substance Act (21 U.S.C. 812) and as further defined by regulation at 21 CFR 1300.11 - 1300.15.

Covered Transaction: A covered transaction is either a primary covered transaction or a lower tier covered transaction.

Debarment: An action taken by a debarring official in accordance with 45 CFR Part 1169 to exclude a person from participating in covered transactions. A person so excluded is "debarred."

Delinquent: Represents the failure to pay an obligation or debt by the date specified in the agency's initial written notification or applicable contractual agreement, unless other satisfactory payment arrangements have been made by that date, or if at any time thereafter, the debtor fails to satisfy the obligation under a payment agreement with the agency. If the debtor fails to pay the debt by the specified date, then the debt is delinquent and the "date of delinquency" is the date given as the payment due date for contractual agreements or the date notification of the debt was mailed, as appropriate.

Federal Debt: The amount of money or property that has been determined by an appropriate agency official to be owed to the United States by any person, organization, or entity. Examples of debt include delinquent taxes, audit disallowances, guaranteed and direct student loans, housing loans, farm loans, business loans, Department of Education institutional loans, benefit overpayments, and other miscellaneous administrative debts.

Grantee: (in the drug-free workplace certification) A person who applies for or receives a grant directly from a federal agency.

Ineligible: Excluded from participation in federal nonprocurement programs pursuant to a determination of ineligibility under statutory, executive order, or regulatory authority, other than Executive Order 12549.

Lower Tier Covered Transaction: (a) Any transaction between a participant and a person other than a procurement contract for goods or services, regardless of type, under a primary covered transaction. (b) Any procurement contract for goods or services between a participant and a person, regardless of type, expected to equal or exceed the federal procurement small purchase threshold fixed at 10 U.S.C. 2304(g) and 41 U.S.C. 253(g) (currently $25,000) under a primary covered transaction. (c) Any procurement contract for goods or services between a participant and a person under a covered transaction, regardless of amount, under which that person

will have a critical influence on or substantive control over that covered transaction. Such persons are project directors, principal investigators, and providers of federally-required audit services.

Participant: Any person who submits a proposal for, enters into, or reasonably may be expected to enter into a covered transaction. This term also includes any person who acts on behalf of or is authorized to commit a participant in a covered transaction as an agent or representative of another participant.

Person: Any individual, corporation, partnership, association, unit of government, or legal entity, however organized, except foreign governments or foreign governmental entities, public international organizations, or foreign government owned or controlled entities.

Primary Covered Transaction: This is normally any nonprocurement transaction between an agency and a person, regardless of type, including grants, cooperative agreements, scholarships, fellowships, contracts of assistance, loans, loan guarantees, subsidies, insurance, payments for specified use, donation agreements, and any other nonprocurement transaction between a federal agency and a person.

Principal: Officer, director, owner, partner, key employee, or other person within a participant with primary management or supervisory responsibilities; or a person who has critical influence on or substantive control over a covered transaction, whether or not employed by the participant.

Proposal: A solicited or unsolicited bid, application, request, invitation to consider, or similar communication by or on behalf of a person seeking to participate or to receive benefit, directly or indirectly, in or under a covered transaction.

Suspension: An action taken by a suspending official in accordance with these regulations that immediately excludes a person from participating in covered transactions for a temporary period, pending completion of an investigation and such legal, debarment, or Program Fraud Civil Remedies Act proceedings as may ensue.

Voluntarily Excluded: The status of nonparticipation or limited participation in covered transactions assumed by a person pursuant to the terms of a settlement.

Certifications

1. Certification Regarding the Nondiscrimination Statutes

The applicant (other than an individual who submits an application to the Endowment) certifies that it will comply with the following nondiscrimination statutes and their implementing regulations: (a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.), which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance; (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance; (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 et seq.), which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonably take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute.

2. Certification Regarding Federal Debt Status (OMB Circular A-129)

The applicant certifies to the best of its knowledge and belief that it is not delinquent in the repayment of any federal debt.

3. Certification Regarding Debarment and Suspension (45 CFR 1169)

The prospective primary participant (applicant) certifies to the best of its knowledge and belief that it and its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

4. Certification Regarding Drug-Free Workplace Requirements (Drug-Free Workplace Act of 1988)

Alternate I. (Certification for Grantees Other than Individuals)

The grantee certifies that it will provide a drug-free workplace by (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibitions; (b) establishing a drug-free awareness program to inform employees about (1) the dangers of drug abuse in the workplace, (2) the grantee's policy of maintaining a drug-free workplace, (3) any available drug counseling, rehabilitation, and employee assistance programs, and (4) the penalties that may be imposed on employees for drug abuse violations; (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a); (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will (1) abide by the terms of the statement and (2) notify the employer of any criminal drug statute conviction for a violation occurring in the workplace not later than five days after such conviction; (e) notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction; (f) taking one of the following actions with respect to any employee who is so convicted: (1) taking appropriate personnel action against such an employee, up to and including termination, or (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency; and (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

Alternate II. (Certification for Grantees Who Are Individuals)

The grantee certifies that he or she will not engage in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance in conducting any activity with the grant.

Note

If a proposed project relates to American Indians, Aleuts, Eskimos, or native Hawaiian people and artifacts, an applicant should obtain from the Endowment a copy of its Code of Ethics concerning native Americans. The code establishes certain standards of conduct in research, publication, and public programs involving native American peoples.